



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet	1	of	3	Attorney Docket Number	016886-001300US
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Complete if Known

Application Number	10/656,797
Filing Date	September 4, 2003
First Named Inventor	STARKSEN, NIEL F.
Art Unit	Unassigned
Examiner Name	Unassigned

U.S. PATENT DOCUMENTS+

Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MTA	1	US-4,014,492	03-24-1977	Rothfuss	
	2	US-4,042,979	08-23-1977	Angell	
	3	US-4,043,504	08-23-1977	Hueil et al.	
	4	US-4,055,861	11-01-1977	Carpentier et al.	
	5	US-4,700,250	10-13-1987	Kuriyama	
	6	US-5,366,479	11-22-1994	McGarry et al.	
	7	US-5,450,860	09-19-1995	O'Connor	
	8	US-5,571,215	11-05-1996	Sterman et al.	
	9	US-5,674,279	10-07-1997	Wright et al.	
	10	US-5,709,695	01-20-1998	Northrup, III	
	11	US-5,752,518	05-19-1998	McGee et al.	
	12	US-5,848,969	12-15-1998	Panescu et al.	
	13	US-5,860,992	01-19-1999	Daniel et al.	
	14	US-5,904,651	05-18-1999	Swanson et al.	
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	16	US-5,972,004	10-26-1999	Williamson IV et al.	
	17	US-6,165,183	12-26-2000	Kuehn et al.	
	18	US-6,197,017	03-06-2001	Brock et al.	
	19	US-6,250,308	06-26-2001	Cox	
	20	US-6,260,552	07-17-2001	Mortier et al.	
	21	US-6,269,819	08-07-2001	Oz et al.	
	22	US-6,283,993	09-04-2001	Cosgrove et al.	
	23	US-6,312,447	11-06-2001	Grimes	
	24	US-6,332,893	12-25-2001	Mortier, t al.	
	25	US-6,524,338	02-25-2003	Gundry	
	26	US-2001/0005787	06-28-2001	Oz et al.	
	27	US-2001/0014800	08-16-2001	Frazier et al.	
	28	US-2002/0013621	01-31-2002	Stoble et al.	
	29	US-2002/0029080	03-07-2002	Mortier et al.	
	30	US-2002/0035361	03-21-2002	Houser et al.	
	31	US-2002/0042621	04-11-2002	Liddicoat et al.	
	32	US-2002/0087169	01-04-2002	Brock et al.	
	33	US-2002/0095167	07-18-2002	Liddicoat et al.	
	34	US-2002/0156526	10-24-2004	Hlavka et al.	
	35	US-2002/0161378 A1	10-31-2002	Downing	
	36	US-2002/0173841	11-21-2002	Ortiz et al.	
	37	US-2003/0074012	04-17-2003	Nguyen et al.	

Examiner Signature	MT Anderson	Date Considered	8/21/2006
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 801.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.



INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
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		Filing Date	September 4, 2003		
		First Named Inventor	STARKSEN, NIEL F.		
		Art Unit	Unassigned		
		Examiner Name	Unassigned		
Sheet	2	of	3	Attorney Docket Number	016886-001300US

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
MTA	38	WO	01/26586		4/19/2001			<input type="checkbox"/>

Examiner Signature	MT Anderson	Date Considered	8/21/2006
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	39	DE SIMONE et al. Adjustable tricuspid valve annuloplasty assisted by intraoperative transesophageal color Doppler echocardiography, Am. J Cardiol 73:721-722 (April 1993)	
1	40	DOWNING et al. Feasibility of Off-Pump ASD Closure Using Real-Time 3-D Echocardiography, Heart Surgery Forum, Abstract 7025 (June 2001)	

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PTO/SB/D8A (08-00)

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Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/656,797	
			Filing Date	September 4, 2003	
			First Named Inventor	Niel F. Starksen	
			Group Art Unit	3732	
			Examiner Name	Unassigned	
Sheet	1	of	3	Attorney Docket Number	GDS 1013-1

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
MTA	A1	5,522,873		Jackman et al.	06-04-1996	
	A2	5,716,370		Williamson, IV et al.	02-10-1998	
	A3	5,769,812		Stevens et al.	06-23-1998	
	A4	5,868,733		Ockuly et al.	02-09-1999	
	A5	5,885,238		Stevens et al.	03-23-1999	
	A6	5,888,240		Carpentier et al.	03-30-1999	
	A7	6,074,401		Gardiner et al.	06-13-2000	
	A8	6,149,658		Gardiner et al.	11-21-2000	
	A9	6,514,265		Ho et al.	02-04-2003	
	A10	6,551,332		Nguyen et al.	04-22-2003	
	A11	6,602,288		Cosgrove et al.	08-05-2003	
	A12	6,607,541		Gardiner et al.	08-19-2003	
	A13	6,613,059		Schaller et al.	09-02-2003	
	A14	6,619,291		Hlavka et al.	09-16-2003	
	A15	6,626,899		Houser et al.	09-30-2003	
	A16	6,629,534		St. Goar et al.	10-07-2003	Figs 78-82; 39/41-40/18
	A17	6,641,593		Schaller et al.	11-04-2003	
	A18	6,702,826		Liddicoat et al.	03-09-2004	
	A19	6,718,985		Hlavka et al.	04-13-2004	
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Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
MTA	B1	WO	94/03227		C. Stefanadis	02-17-1994		
	B2	WO	98/07375		Trustees of Columbia U.	02-26-1998		
	B3	WO	02/03892		Paul A. Spence	01-17-2002		
	B4							
	B5							
	B6							
	B7							
	B8							
	B9							
	B10							

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² Unique citation designation number. ³ See attached Kinds of U.S. Patent Documents. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷ Applicant is to place a check mark here if English language Translation is attached.

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First Named Inventor	Niel F. Starksen				
Group Art Unit	3732				
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Attorney Docket Number	GDS 1013-1				
Sheet	2	of	3		

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
MTA	A21	2002/0095167		Liddicoat et al.	07-18-2002	
	A22	2002/0161378		Downing	10-31-2002	
	A23	2002/0173841		Ortiz et al.	11-21-2002	
	A24	2003/0074012		Nguyen et al.	04-17-2003	
	A25	2003/0078603		Schaller et al.	04-24-2003	
	A26	2003/0093118		Ho et al.	05-15-2003	
	A27	2003/0130731		Vidlund et al.	07-10-2003	
	A28	2003/0199974		Lee et al.	10-23-2003	
	A29	2004/0019378		Hlavka et al.	01-29-2004	
	A30					
	A31					
	A32					
	A33					
	A34					
	A35					
	A36					
	A37					
	A38					
	A39					
	A40					

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		Office ³	Number ⁴	Kind Code ⁵ (If known)				
	B11							
	B12							
	B13							
	B14							
	B15							
	B16							
	B17							
	B18							
	B19							
	B20							

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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Signature**

M T Andersen

Date _____

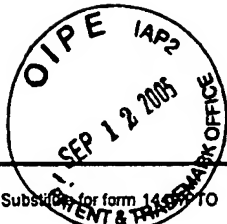
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ALTERNATIVE TO PTO/SB/08 a/b (07-05)

Substitution for form 1449 TO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/656,797	
			Filing Date	September 4, 2003	
			First Named Inventor	Niel F. STARKSEN	
			Art Unit	3731	
			Examiner Name	G. Jackson	
Sheet	1	of	2	Attorney Docket Number	578492001500

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MTA	1.	US-2002/0087048-A1	07-04-2002	Brock et al.	
	2.	US-2002/0087049-A1	07-04-2002	Brock et al.	
	3.	US-2002/0087148-A1	07-04-2002	Brock et al.	
	4.	US-2002/0095175-A1	07-18-2002	Brock et al.	
	5.	US-2002/0138044-A1	09-26-2002	Streeter et al.	
	6.	US-2003/0018358-A1	01-23-2003	Saadat	
	7.	US-2003/0069593-A1	04-10-2003	Tremulis et al.	
	8.	US-2003/0078465-A1	04-24-2003	Pai et al.	
	9.	US-2003/0220685-A1	11-27-2003	Hlavka et al.	
	10.	US-2003/0233142-A1	12-18-2003	Morales et al.	
	11.	US-2004/0003819-A1	01-08-2004	St. Goar et al.	
	12.	US-2004/0030382-A1	02-12-2004	St. Goar et al.	
	13.	US-2004/0039442-A1	02-26-2004	St. Goar et al.	
	14.	US-2004/0193191-A1	09-30-2004	Starksen et al.	
	15.	US-2004/0243227-A1	12-02-2004	Starksen et al.	
	16.	US-2005/0065550-A1	03-24-2005	Starksen et al.	
	17.	US-2005/0107810-A1	05-19-2005	Morales et al.	
	18.	US-2005/0107811-A1	05-19-2005	Starksen et al.	
	19.	US-2005/0107812-A1	05-19-2005	Starksen et al.	
	20.	US-2005/0119523-A1	06-02-2005	Starksen et al.	
	21.	US-5,242,456-A	09-07-1993	Nash et al.	
	22.	US-5,257,975-A	11-02-1993	Foshee	
	23.	US-5,725,542-A	03-10-1998	Yoon	
	24.	US-5,989,284-A	11-23-1999	Laufer	
	25.	US-6,010,531-A	01-04-2000	Donlon et al.	
	26.	US-6,355,030-B1	03-12-2002	Aldrich et al.	
	27.	US-6,602,289-B1	08-05-2003	Colvin et al.	
	28.	US-6,651,671-B1	11-25-2003	Donlon et al.	
	29.	US-6,689,164-B1	02-10-2004	Seguin	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
MTA	30.	WO-00/60995-A2, A3	10-19-2000	Evalve, Inc.		
	31.	WO-00/67640-A2, A3	11-16-2000	Brock Rogers Surgical, Inc.		
	32.	WO-02/051329-A1	07-04-2002	Brock Rogers Surgical, Inc.		
	33.	WO-03/105670-A2, A3	12-25-2003	Guided Delivery Systems, Inc.		
	34.	WO-2005/025644-A2	03-24-2005	Guided Delivery Systems, Inc.		

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Examiner Signature	<i>M T Anderson</i>	Date Considered	8/22/2006
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pa-1007093

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				Art Unit	3731
				Examiner Name	G. Jackson
Sheet	2	of	2	Attorney Docket Number	578492001500

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	35.	De Simone, R. et al. (April 15, 1993). "Adjustable Tricuspid Valve Annuloplasty Assisted by Intraoperative Transesophageal Color Doppler Echocardiography," <i>Am. J. Cardiol.</i> 71(11):926-931.	
	36.	De Simone, R. et al. (April 1, 1994). "Adjustable Annuloplasty for Tricuspid Insufficiency with External Control," <i>Reader's Comments and Reply, Am. J. Cardiol.</i> 73(9):721-722.	

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pa- 1007093



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				Examiner Name	G. Jackson
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MTA	1.	US-2003/0033008-A1	02-13-2003	Phillips et al.	
	2.	US-2003/0167071-A1	09-04-2003	Martin et al.	
	3.	US-2005/0080454-A1	04-14-2005	Drews et al.	
	4.	US-2005/0216078-A1	09-29-2005	Starksen et al.	
	5.	US-2005/0251157-A1	11-10-2005	Saadat et al.	
	6.	US-2005/0251159-A1	11-10-2005	Ewers et al.	
	7.	US-2005/0251166-A1	11-10-2005	Vaughan et al.	
	8.	US-2005/0251177-A1	11-10-2005	Saadat et al.	
	9.	US-2005/0251205-A1	11-10-2005	Ewers et al.	
	10.	US-2005/0251207-A1	11-10-2005	Flores et al.	
	11.	US-2005/0251208-A1	11-10-2005	Elmer et al.	
	12.	US-2005/0251209-A1	11-10-2005	Saadat et al.	
	13.	US-2005/0251210-A1	11-10-2005	Westra et al.	
	14.	US-2005/0273138-A1	12-08-2005	To et al.	
	15.	US-2005/0277966-A1	12-15-2005	Ewers et al.	
	16.	US-2005/0277981-A1	12-15-2005	Maahs et al.	
	17.	US-2005/0277983-A1	12-15-2005	Saadat et al.	
	18.	US-2006/0025750-A1	02-02-2006	Starksen et al.	
	19.	US-2006/0025784-A1	02-02-2006	Starksen et al.	
	20.	US-2006/0025787-A1	02-02-2006	Morales et al.	
	21.	US-5,520,702-A	05-28-1996	Sauer et al.	
	22.	US-5,643,289-A	07-01-1997	Sauer et al.	
	23.	US-6,099,553-A	08-08-2000	Hart et al.	
	24.	US-6,409,743-B1	06-25-2002	Fenton, Jr.	
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Examiner Signature	<i>MT Anderson</i>	Date Considered	8/21/06
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pa-1046972